

DEPARTMENT OF HEALTH AND HUMAN SERVICES (HHS)

Program Announcement No. AoA-01-08

Older Americans Act Title III-E Discretionary Program Announcement and Application Kit  
Administration on Aging (AoA)

**ACTION:** Announcement that grant and cooperative agreement awards will be made for innovative programs and activities of national significance under the National Family Caregiver Support Program. These grants and cooperative agreements are to develop services and systems to sustain the efforts of families and other informal caregivers of older individuals, and grandparents or older individuals who are relative caregivers of children. The accompanying set of materials comprises the **application kit** for preparing and submitting grant and cooperative agreement proposals to compete for those project awards.

**SUMMARY:** AoA announced in the *Federal Register* that it will hold a competition for grant or cooperative agreement awards for projects that develop services and systems which demonstrate new or improved approaches and systems of supportive services for certain family caregivers.

This program announcement consists of two parts. *Part I* provides background information, describes the program priority areas under which AoA is inviting applications to be considered for funding, and describes the process governing the consideration of project applications for funding. *Part II* provides guidance on how to prepare and submit an application.

All of the forms, assurances, and certifications necessary to complete the application are included following *Part II*. Grant awards will be made under this announcement subject to the availability of funds for the support of the priority area project activities described herein.

**DATE:** The **deadline date** for the submission of applications is **August 10, 2001**.

**ADDRESS:** Application receipt point: U.S. Department of Health and Human Services, Administration on Aging, Office of Management, Division of Grants Management, 330 Independence Avenue, S.W., Wilbur J. Cohen Building, Room 4257, Washington, D.C. 20201, Attn: AoA-01-08.

**FOR FURTHER INFORMATION CONTACT:** U.S. Department of Health and Human Services, Administration on Aging, Office of Program Development, 330 Independence Avenue, S.W., Washington, D.C. 20201. For information related to Priority Areas I, II, III, and IV, contact: Don Grantt at (202) 619-2629 or [donald.grantt@aoa.gov](mailto:donald.grantt@aoa.gov). For information related to Priority Area V, contact Rick Greene at (202) 205-2814 or [rick.greene@aoa.gov](mailto:rick.greene@aoa.gov).

## **Part I. Background Information and Priority Area Description**

### **A. Statutory Authority**

The statutory authority for grants and cooperative agreements for “National Innovation Programs” is contained in Title III-E, Sections 375 and 376, of the Older Americans Act, (42 U.S.C. 3001 et seq.), as amended by the Older Americans Act Amendments of 2000 (P.L. 106-501). Subject to the availability of funds some part of these grants may be funded from Title IV of the Older Americans Act.

### **B. Eligible Applicants**

**State and Area Agencies on Aging, and non-profit community service providers, including faith-based organizations are eligible to apply under this program announcement for Priority Areas I through IV. Applications from service providers for Priority Areas I through IV must reflect explicit knowledge of the family caregiver programs and plans of the Area Agencies on Aging in whose jurisdictions they demonstrate services. Accredited Institutions of Higher Education are eligible to apply for grants in Priority Area IV only. Only national organizations with demonstrated expertise in aging and caregiving may apply for Priority Area V cooperative agreements.**

Applicant organizations may submit more than one proposal under this announcement, but no organization will receive more than one grant in a priority area. Organizations may participate in more than one grant. No application may exceed 30 pages.

Any applicant that is not now a DHHS grantee should include, with its application, Internal Revenue Service or other legally recognized documentation of its nonprofit status. A nonprofit applicant cannot be funded without proof of its status.

### **C. Priority Areas**

There are five Priority Areas for competition under this announcement:

- I. Building Multi-Faceted Family Caregiver Programs -- Systems Development**
- II. Building Multi-Faceted Family Caregiver Programs – Service Components**
- III. Building Multi-Faceted Family Caregiver Programs – Linkages to Special Populations and Communities**
- IV. Field Initiated Demonstrations to Develop and Test New Approaches to Supporting Family Caregivers**
- V. National Projects That Enhance the Development of Caregiver Programs**

#### D. Project Funding and Duration

AoA plans to fund approximately 24 to 28 projects nationwide. The demonstration projects will be approved for varying periods from one to three years. Funding after the first year is contingent on the availability of federal funds and the grantee's performance relative to project goals and the grantee's compliance with the terms and conditions of the grant. The federal share of the costs of any of the projects will not exceed 75%.

**Caution!** The authority in Title III-E, Subpart 2, has explicit sunset provisions which provide that the authority for these grants is effective only, “. . . for 3 fiscal years after the date of enactment of the Older Americans Act Amendments of 2000.” That means that the authority for new or continuation grants from this source will not continue beyond FY 2004. After FY 2004, services provided as part of these grants can only be continued with **funds from other sources**, such as state, Area Agency on Aging, local funds, or other federal programs. Responsibility for continuing services that are part of these demonstrations after the period provided in the grants that are awarded by AoA resides with the grantee.

#### E. General Requirements

**The following requirements apply to all proposals. Applicants should review their proposals against the list of requirements to ensure that each requirement has been addressed in the proposal.**

##### 1. Project Planning Process

- Applicants are expected to demonstrate a familiarity with the history, extant literature, current status, and policy considerations bearing on the development of supportive services programs for family caregivers. Information regarding these matters is available in books, journals, and on AoA's web page related to the development of family caregiver supportive service programs (<http://www.aoa.gov/carenetwork>).
- Applicants must provide detailed specifics about the goals, implementation strategies, and outcomes for the first year of the grant. Project emphases and anticipated major activities for years two and three should also be identified. A description of each goal and activity, as well as its relation to identified needs, should be provided.
- Applicants must provide a time-line chart or its equivalent to list project activities in chronological order and show the target dates for the projected accomplishments.
- Projects must be cost-effective and programmatically efficient, maximizing Federal, state and local resources

## 2. Project Implementation & Management

- Applicants must provide adequate program development support and leadership. AoA expects that throughout the grant period, the Project Director will have involvement in and substantial knowledge about all aspects of the project and will have a solid understanding of how the activities in this project relate to other caregiving programs and activities elsewhere in the nation.
- Applicants must describe their plans for project monitoring and quality assurance.
- Applicants should describe their dissemination plan and anticipated products. AoA expects that nationwide dissemination of products and knowledge will occur.
- When training is a significant component of the proposal, AoA expects to see a detailed training plan, including who is to be trained, who will provide the training and their general qualifications, and how the training addresses identified service and system gaps for family caregivers of the elderly and disabled. We also expect that applicants will use, as a starting point, some of the existing professional and consumer training materials and models and adapt them for local use rather than reinventing existing training programs.

## 3. Reporting

Grantees are required to submit two progress reports each year. A semi-annual progress report, consisting of a narrative and Financial Status Report (FSR, form #269), covering the first six months of the project. An additional progress report, covers each subsequent six month period. A final project report is due 90 days after the completion of the grant project.

Organizations must have adequate capacity to meet all reporting requirements and time lines. Failure to meet reporting requirements will result in suspension or termination of the grant or cooperative agreement.

## F. Priority Area Description

### 1) Background

Family caregivers provide most of the care that supports elderly persons with chronic disabilities. This long-term care is almost entirely unpaid and greatly enhances the quality of life of the care recipients, often being the determining factor in where they live and even affecting their ability to survive. Among non-institutionalized persons needing assistance with activities of daily living, 95% have family members involved in their care. This degree of caregiver involvement has remained fairly constant over more than a decade, bearing witness to the remarkable resilience of the American family in taking care of its elders despite increased family mobility, greater numbers of women in the workforce, and other changes in family structure.

However, the costs to caregivers - in terms of time, physical and emotional stress, and financial burden - can be significant. For example, the most recent National Long-Term Care Survey and other research have documented that:

- Caring for an impaired older person often requires demands, e.g., heavy lifting and turning, frequent bedding changes, and helping a person use a toilet, that physically strain caregivers, many of whom are older persons too, and compounds existing health problems;
- Bearing the long-term care responsibilities for a disabled older relative or friend places heavy emotional strain on the caregiver and often results in depression;
- Two-thirds of working caregivers report conflicts between work and caregiving, which require them to rearrange their work schedules, work fewer than normal hours, and/or take unpaid leaves of absence.

Over the last three decades, increasing numbers of research studies have improved our understanding of the many dimensions and dynamics of family caregiving. Early research on social program interventions to support family caregivers showed that the interventions often had little or no effect on caregivers. Frequently, family caregivers that seemed to need help would reject or underutilize supportive services. More recent research has led to the realization that caregivers and their needs vary greatly. Their needs often change drastically over the period in which they provide care. We have learned that an all-purpose service provided to an “average caregiver” will not be effective. The recent research shows that service interventions tailored to a caregiver’s more immediate needs can effectively enhance the quality of life for caregivers and care recipients. Further, supportive services can, in some cases, delay the shift from home and community settings to nursing homes. Therefore, the National Family Caregiver Support Program (NFCSP) is designed to develop multi-faceted systems of community services that can be offered to caregivers to meet their various perceived needs. An excellent research-based description of caregivers, their needs, and changes that occur during their caregiver careers is available on AoA’s web page at <http://www.aoa.gov/carenetwork/>. “Change, Continuity and Diversity Among Caregivers” by Rhonda J. V. Montgomery and Karl D. Kosloski aids in understanding the range and continuity of services that can be linked to effectively assist caregivers.

National recognition is beginning to be paid to the critical role of families in the provision of Long-Term Care (LTC). In 1993, the Family and Medical Leave Act was enacted to ensure that businesses address the needs of their employees with regard to eldercare and parenting. In November 2000, the NFCSP was enacted to help families sustain their efforts to care for an older relative who has a serious chronic illness or disability. Under this new Older Americans Act (OAA) program, the State Agencies on Aging, working in partnership with Area Agencies on Aging, community service providers and consumer organizations, will put in place five basic program components of a multi-faceted system:

- Information to caregivers about available services;
- Assistance to caregivers in gaining access to supportive services;

- Individual counseling, organization of support groups, and caregiver training to assist the caregivers in making decisions and solving problems relating to their caregiving roles;
- Respite care to enable caregivers to be temporarily relieved from their caregiving responsibilities; and
- Supplemental services, on a limited basis, to complement the care provided by caregivers.

## 2) Project Objectives

AoA is currently providing **formula grants** under OAA Title III-E, Section 373 to **states** to implement the NFCSP. The grants and cooperative agreements being offered under this announcement are for projects that will generate and disseminate knowledge that can improve the quality and effectiveness of the NFCSP multi-faceted systems of services being established and improved by the aging network. Based on existing research on program components similar to those being implemented in the NFCSP, AoA requests that prospective grantees address in their applications certain programmatic issues detailed in the priority areas listed below.

**The demonstration grants provided under this announcement for Priority Areas I through IV must go substantially beyond the scope of the Title III-E formula grants that provide caregiver services in terms of innovation, measurement, and analysis. The evaluative component of each demonstration is of critical importance.** Although these demonstrations may build on existing services, these grants are not intended merely to augment social services being provided through Title III-E formula grants or grants provided through other funding sources. Proposals for these demonstrations must reflect an understanding of existing projects and programs of supportive services for caregivers and **make a strong case that what is proposed is innovative** and the specific benefits of the innovation. Specific qualitative and/or quantitative measures for project outcomes must be detailed. If established measures will be used, they must be identified. If new measures are proposed, the data to be collected must be identified. A specific analytical process for demonstrating the results of the demonstration must be proposed. The proposal must identify the person responsible for the design and analysis of the measures and describe their qualifications for the research component of the proposed project.

The demonstrations in Priority Areas I through IV should be on a scale that could eventually be implemented by a substantial part of the aging network in a cost-effective manner. Costs per client often run higher in a demonstration. But, the demonstrations should be of services that realistically could be widely implemented.

The proposals in Priority Areas I through IV should provide evidence that the caregiver supports proposed would probably be well received by caregivers. When appropriate, the projects should use a development process that utilizes direct feedback from the populations served in the program to make program improvements as the program unfolds.

There are a number of considerations that cut across priority areas I-IV:

- Nearly all of Title III-E caregiver programs and discretionary projects will include a substantial proportion of care recipients with dementia. We favor programs and projects that serve both dementia and non-dementia related caregivers. Dementia and non-dementia service populations should be segregated or excluded only when an important programmatic reason is fully explained. It will often be useful and important to design program accommodations, track participation, and report findings related to dementia issues.
- AoA encourages grant applications that are linked to, include as partners, or originate from community service provider organizations including those that are faith-based.
- A substantial body of research indicates that culture and ethnicity are important factors affecting caregiver needs, the usefulness and acceptability of supportive services, and how caregivers use supportive services. A sub-priority area is included to demonstrate innovative approaches to serving ethnic and cultural minorities. However, grant proposals in priority areas I-IV should explicitly consider and, when appropriate, include measures of how the service and systems interventions include and affect ethnic and cultural minority populations in the service area of the demonstration.
- Proposals that are related substantially to supporting caregivers of persons with mental retardation or related developmental disabilities must consult with and demonstrate the support of the State entity or agency that administers or funds programs for persons with mental retardation or related developmental disabilities.

### **Priority Area I Building Multi-Faceted Family Caregiver Programs -- Systems Development**

Family caregivers are diverse and their needs change substantially as the condition of the person for which they are providing care changes. Therefore, a range of services from more than one provider may be needed to meet the needs of the caregiver. A systems approach is needed to assure the coordination, quality, continuity of service, and effectiveness of the services for the caregiver. The demonstrations in this priority area must include a description of how the system of caregiver supportive services is designed to meet the diverse and dynamic needs of caregivers and demonstrate the outcomes in practice. Applicants are encouraged to coordinate their efforts with existing federal, state and local systems that serve beneficiaries and/or their caregivers. AoA will award approximately six (6) total, demonstration grants in this priority area. The awards may be up to \$250,000 per year for up to three years for any of the following sub-priority areas:

1. **Adapting Existing Home and Community-Based Service Systems to Serve Caregivers.** There is a need to develop model approaches for reconciling the Title III-E aim of developing multifaceted systems for caregivers with the Title III goal of developing comprehensive, coordinated service systems for older care recipients. For example, a grantee might demonstrate the methodology and effects of transforming the focus of an existing coordinated set of services focused entirely on care recipient services to include a focus on caregivers. AoA may make more than one grant in this sub-priority area.

2. **Quality Standards and Mechanisms of Accountability.** Projects in this sub-priority area are **limited to applications from State Units on Aging**. Title III-E, Section 373(e)(1) requires states participating in this program to, “. . . establish standards and mechanisms designed to assure the quality of services made available. . . .” AoA will consider applications from states that propose to design, test, and implement innovative statewide service standards and quality assurance mechanisms for multifaceted systems of supportive services for family caregivers. AoA may make more than one grant in this sub-priority area.
3. **Program Designs to Provide Maximum Flexibility to Caregivers.** Projects in this sub-priority area may include client-directed services to support caregivers, menus of innovative supplemental services that respond to caregiver’s perceived needs, and other service approaches that provide more caregiver or family choice.
4. **Care Management for Caregivers.** Care management systems are widely used throughout the aging network to coordinate and manage services for care recipients. However, few care management systems include a substantial explicit focus on meeting caregiver needs. This demonstration should develop\improve and document the effects of an innovative care management system that includes a focus on caregivers.

## **Priority Area II Building Multi-Faceted Family Caregiver Programs – Service Components**

Family caregiver services could be established solely to provide services to support caregivers. However, it is much more likely that the services provided will have been primarily established to serve care recipients and will be serving caregivers as a new and perhaps secondary activity. If the service being demonstrated involves adaptation of an existing service, the grant application and the measures proposed must reflect a careful description of the original service and the effects of the adaptation. AoA will award approximately four (4) total, demonstration grants in this priority area. The awards may be up to \$200,000 per year for up to three years for any of the following sub-priority areas:

1. **Structuring Effective Information and Assistance Systems for Family Caregivers.** Research indicates that caregivers are underserved for a number of complex reasons, including not identifying themselves as caregivers. Information and Assistance systems throughout the aging network need to be adapted to effectively reach and serve the highly varied needs of caregivers. Demonstrations of innovative and effective approaches to reaching and serving specific types of caregivers are needed.
2. **Innovative Services That Provide Respite for Caregivers.** Many services provide respite from caregiving activities. AoA is interested in innovative service approaches that can demonstrate positive effects for specific types of caregivers.
3. **Effective Caregiver Training and Education.** Caregiver training should be adapted to meet the needs of caregivers based on, the type of caregiver, the stage in the caregiver career that has been reached, the disease of the care recipient, and other considerations. AoA seeks proposals that show the effects of specific training interventions on caregivers.
4. **Support Groups and Counseling for Caregivers.** Caregiver support groups and counseling should be adapted to meet the needs of caregivers based on the stage in the



caregiver career that has been reached, the disease of the care recipient, and other considerations. AoA seeks proposals that show the effects of specific support group and counseling interventions on caregivers.

### **Priority Area III. Building Multi-Faceted Family Caregiver Programs – Linkages to Special Populations and Communities**

Research has demonstrated that caregiving varies considerably for special populations and that supportive services need to accommodate the situational differences and circumstances of these populations in order to be relevant and effective. The demonstrations in this priority area must include a description of how the system is designed to meet the diverse and changing needs of caregivers and demonstrate the outcomes in practice. AoA will award approximately six (6) total, demonstration grants in this priority area. The awards may be up to \$200,000 per year for up to three years for any of the following sub-priority areas:

1. **Serving Ethnically and Culturally Diverse Caregivers.** AoA may make more than one grant in this sub-priority area.
2. **Services to Grandparents and Relative Caregivers (Including Grandparents and Older Relative Caregivers Raising Children with MR/DD).** AoA will permit grandchildren that are not permitted to be served under the Title III-E formula grants to be included in this sub-priority area. For example, elderly persons and older relative caregivers raising children with Mental Retardation and Developmental Disabilities who are between 19 and 59 years of age. AoA may make more than one grant in this sub-priority area
3. **Supporting Rural Caregivers.**
4. **Supporting Employed Caregivers.**
5. **Supporting Socially and Economically Disadvantaged Caregivers.**

### **Priority Area IV Field-Initiated Demonstrations to Develop and Test New Approaches to Supporting Family Caregivers.**

AoA will consider funding approximately four (4) demonstration grants of up to \$150,000 each per year, for up to three (3) years on topics related to the purposes of Title III-E that are not included in **Priority Areas I through III or V.**

### **Evaluation Criteria for Priority Areas I Through IV**

An independent review panel of at least three individuals will evaluate proposals that meet all screening criteria. These reviewers, experts in the fields of aging, caregiving, and service delivery and evaluation, will be drawn from academic institutions, non-profit, community and faith based organizations, state and local government, and federal government agencies other than AoA. Based on the specific programmatic considerations set forth above in the priority area, the reviewers will comment on and score the applications, focusing their comments and scoring decisions on the criteria below.

Applications are scored by assigning a maximum of 100 points across four criteria areas:

1. **Innovation and Relevance to Priority Area:** (Weight 30 points)
  - a. Does the application include relevant and significant information to demonstrate a familiarity with the history, extant literature, current status, and policy considerations bearing on the development of supportive services programs for family caregivers? (8 points)
  - b. Does the application propose a program innovation that is substantially different from existing examples of service programs and/or services that support family caregivers? (15 points)
  - c. Are the principal and subordinate objectives and activities of the project clearly stated, justified, and relevant to the issue/priority area? (7 points )
2. **Expected Results and Dissemination:** (Weight 17 points)
  - a. Are the expected project benefits and/or results clearly identified, realistic, and consistent with the objectives of the project? Are important anticipated contributions to policy, practice, theory and/or research clearly indicated? (12 points)
  - b. Does the application provide a realistic and appropriate plan of activities for disseminating the results, findings, and products of the project? Does the application describe how its products will be disseminated to well chosen audiences as well as what uses those audiences are likely to make of the project's findings, results, and products? (5 points)
3. **Approach:** (Weight 33 points)
  - a. Does the application provide a sound and workable plan of action pertaining to the scope of the project and specify how the proposed work will be accomplished? (5 points)
  - b. Does the application clearly explain the methodology for determining the results of the project? Has the application clearly identified the data to be collected and the analytical procedures to be applied? (18 points)
  - c. Does the proposed work/task schedule offer a logical and realistic projection of accomplishments to be achieved? Is a time-line chart or its equivalent employed to list project activities in chronological order and show the target dates for the projected accomplishments? (5 points)
  - d. Has the application identified and secured the commitment of each of the key cooperating organizations, groups, and individuals who will work on the project and provided an adequate description of the nature of their effort or contribution? If the applicant is a service provider, does application reflect explicit knowledge of the family caregiver programs and plans of the Area Agencies on Aging in whose jurisdictions they demonstrate services? (5 points)

4. **Level of Effort:** (Weight 20 points)

- a. Are the project management, staff resources, and time commitments adequate to carry out the proposal effectively and efficiently? Is the staff chart consistent with the project plan expressed in the Approach section of the Program narrative? Are the authors of the proposal, their relationship to the applicant agency and their intended role in the project, if any, identified? (6 points)
- b. Has the application identified and secured the commitment of a qualified researcher to be responsible for the design and analysis of the measures (see section F, 2 of this announcement) and described their qualifications for this activity. (8 points)
- c. Does the budget justification adequately describe the resources necessary to conduct the project? Is the budget reasonable in terms of the intended results? (6 points)

**Priority Area V National Projects That Enhance the Development of Caregiver**

**Programs**

Priority V limits applications to national organizations with demonstrated expertise in aging and caregiving and the ability to provide the assistance proposed nationwide.

AoA plans to fund approximately six (6) projects nationwide for up to \$200,000 each under cooperative agreements for up to three years. A cooperative agreement is an award of financial assistance where “substantial involvement” by AoA is anticipated during the performance of the activity. “Substantial involvement” means that the recipient can expect AoA collaboration or participation in the implementation of the project.

AoA invites national organizations with demonstrated expertise in aging and caregiving programs to submit applications that focus on assisting State Units on Aging (SUAs), AAAs, Tribes community and service provider organizations who will provide supportive services to families caring for their older adults. Since this is a new national program, the emphasis of these grants is on assisting the aging network in areas of program development that can facilitate the initiation of the program. The assistance proposed must be available nationwide. However the scope of the proposed activities may be limited to certain types of organizations such as SUAs, AAAs, Tribal organizations and community and service provider organizations. The assistance is to broadly serve all of the agencies in the type of organization selected by the applicant. AoA does not intend these grants to primarily support the grantees under Priority Areas I through IV of this announcement, though they may benefit from the activities of grantees under Priority Area V. Any activities proposed by the applicant should fully complement and not duplicate the program development activities being undertaken by the AoA. These include AoA’s Caregiver Listserv, Caregiver Web Page for the Aging Network, National Caregiver Technical Assistance Conferences planned for the aging network, and the technical assistance/best practice materials that will be developed in connection with these conferences, including a Caregiver Program Handbook for the Aging Network. Information on these activities can be obtained from the AoA web page at <http://www.aoa.gov/carenetwork>.

Applicants should build into their proposals a method to obtain appropriate input from those parts of the aging network it intends to serve.

**Projects that enhance the development of the caregiver network.**

Applicants may consider one or more of the following when developing their proposed scope of work:

- Identify important developments in caregiving programs, such as successful programs focused on building “multi-faceted support systems,” and provide relevant information to the aging network.
- Convene conference workshops and meetings to complement/expand AoA National Conferences
- Investigate the assistive technology that has been developed for frail elders, identify “best practices” to transfer this technology to assist family caregivers, and disseminate this information to the aging network in a variety of modalities.
- Identify and disseminate ways in which the aging network can link with other existing programs, e.g. foundation initiated projects to form public-private partnerships.
- Identify existing quality care standards that States, AAAs, Tribes and community and service providers have developed for care management, in-home service, adult day care, respite care, etc., and provide this information to the network.
- Develop new ways of training health professionals to more appropriately respond to caregivers.

While information and materials developed under these cooperative agreements may be intended for a limited set of users, such as SUAs, AAAs, or Tribes, AoA may adapt any materials produced under these cooperative agreements for use by other segments of the aging network. All disseminated materials produced under the cooperative agreement may be used or separately disseminated by AoA, e.g. through the Caregiver Web Page for the Aging Network, giving full acknowledgement of the organization and authors of the materials.

Applicants must provide a detailed description of their expertise in caregiving, including publications, presentations, sponsored-conferences, and program development. The applicant must have staff available with the appropriate expertise in gerontology, caregiving, cultural competency, grandparenting, etc. Resumes must be attached for all key project staff (such as the project director, key trainers, and evaluators) that the applicant proposes to work on this project.

**Evaluation Criteria for Priority Area V**

An independent review panel of at least three individuals will evaluate proposals that meet all screening criteria. These reviewers, experts in the fields of aging, caregiving, and service delivery and evaluation, will be drawn from academic institutions, non-profit organizations, state and local government, and federal government agencies other than AoA. Based on the specific programmatic considerations set forth above in the priority area, the reviewers will

comment on and score the applications, focusing their comments and scoring decisions on the criteria below.

Applications are scored by assigning a maximum of 100 points across four criteria areas:

**1. Purpose and Need for Assistance**

**Weight: 15** points

- Does the application adequately and appropriately describe and document the key program and policy issues relevant to its purpose? Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge? **(7 points)**
- Does the proposed project clearly and adequately respond to the program and policy issues involving the provision of supportive services to family caregivers of the elderly and disabled? **(8 points)**

**2. Approach/Method – Work Plan and Activities**

**Weight: 35**points

- Does the proposed project effectively utilize a coordinated, collaborative approach, including partnerships with aging network agencies (national, State and Area Agencies on Aging, providers and Tribes), health care staff, community organizations that work directly with family caregivers, or other appropriate entities to affect policy and service delivery at the national, state and local levels? Has the applicant demonstrated its knowledge of the aging network and its ability to disseminate caregiving information nationwide? **(7 points)**
- Does the applicant present a well-organized work plan that systematically includes specific goals, objectives, activities and implementation strategies that are responsive to the applicant's statement of needs and purpose? Are plans for the project provided in sufficient detail to permit an understanding of the entire project's intended outcomes? Does the work plan include a detailed timeline for the accomplishment of tasks and objectives for the first year, and a more general timeline for the second and third years? Is the sequence and timing of events logical and realistic? **(11 points)**
- Has the applicant adequately described its plan for development of assistance to agencies providing services for family caregivers? Are activities in the work plan, included those provided by contractors, adequate and appropriate to achieve objectives? **(6 points)**
- Has the applicant demonstrated their expertise in issues related to family caregiving? Has the applicant included activities focused on improving the responsiveness of existing home and community based service system(s) for family caregivers? Are activities included in the work plan to engage and collaborate with state and local agencies; Tribes an organizations providing resources to Tribes, as appropriate; and faith-based and family caregiver organizations on crosscutting policy and service

delivery issues? Are the proposed activities appropriate, given the project goals and objectives? **(11 points)**

**3. Outcomes/Benefits/ Impact**

**Weight: 25 points**

- Are the expected project benefits and/or results clearly identified, realistic, and consistent with the objectives of the project? Are outcomes likely to be achieved and will they significantly benefit family caregivers through improvement in policy or practice. **(13 points)**
- Is there a system to solicit and document feedback from project clients on the effectiveness, relevance and value of the information and assistance provided by the project? **(5 points)**
- Does the proposal include a plan for dissemination that is likely to increase the awareness of project activities and events during project performance? Is this plan adequate for communicating project outcomes and products to all appropriate audiences? **(7 points)**

**4. Level of Effort, Program Management & Organizational Capacity Weight: 25 points**

- Does the applicant have an established track record of collaboration among a variety of local, state, and federal agencies and organizations? Does the applicant have an established track record in providing assistance to the primary types of agencies to be served? Are letters from key participating organizations included and do they express the clear commitment and areas of responsibility of those organizations, consistent with the work plan description of their intended roles and contributions? **(5 points)**
- Are the roles and contribution of staff, consultants, and collaborative organizations clearly defined and linked to specific objects and tasks? Do the proposed project director(s), key staff, and consultants have the background, experience, and other qualifications required to carry out their designated roles? **(5 points)**
- Does the proposal provide adequate programmatic, policy, and logistical support at the state and local levels to ensure successful implementation of the project's goals and objectives? Does the proposal show sufficient level of effort by the Project Director to effectively direct and manage the project? Are tasks and services provided by contractors clearly spelled out in the program narrative and budget justification? **(5 points)**
- Are the writers of the proposal identified and will they be involved in the project's management and implementation? If not, is there a logical explanation for their non-participation? **(2 points)**

- Is the budget justified with respect to the adequacy and reasonableness of resources requested? Are budget line items consistent with and tied to the work plan objectives? (8 points)

## **G. Budget Instructions and Match Information**

This section provides information and instructions on grantee match requirements and calculations, indirect costs, and guidance for completing SF424A & B, required budget forms. Also included are instructions for the required budget justification.

### **1. Grantee Share of the Project**

AoA does not make grant awards for the entire project cost. Successful applicants must, at a minimum, contribute one (1) dollar, secured from non-federal sources, for every three (3) dollars received in federal funding. For example, if your request for federal funds is \$255,000, then the required minimum match or cost sharing is \$85,000 for year 1. The total project cost is \$340,000, of which your \$85,000 share is 25%.

There are two exceptions to this cost sharing formula. First, for applications submitted by Tribal organizations the non-federal share must equal at least 20% of total project costs. Second, applicants from the Virgin Islands, the Northern Mariana Islands, American Samoa, or Guam are covered by Section 501(d) of Public Law 95-134, as amended, which requires the Department to waive “any requirement for local matching funds under \$200,000.”

The non-federal share of total project costs for each budget period may be in the form of cash from non-Federal sources, grantee-incurred direct or indirect costs, third party in-kind contributions, and/or project-related income. Indirect costs may not exceed those allowed under federal rules established, as appropriate, by OMB Circulars A-21, A-87, and A-122. If the required non-federal share is not met by a funded project, AoA will disallow any unmatched federal dollars. A common error is to match 25% of the federal share rather than 25% of the entire project cost. Failure to provide the required non-Federal match will result in the loss of Federal funds. No waivers of the non-Federal share are available.

### **2. Indirect Costs**

Indirect costs generally may be requested only if the applicant has a negotiated indirect cost rate with the Department’s Division of Cost Allocation or with another federal agency. Applicants without a negotiated indirect cost rate may apply for one in accordance with DHHS procedures and relevant OMB Circulars.

### 3. SF 424A - Budget Information

This form (SF424A) is designed to apply for funding under more than one grant program; thus, for purposes of this AoA program, many of the budget item columns/blocks are not applicable to this project. *The applicant should consider and respond to only the budget items for which guidance is provided below.*

#### ***Forms Instructions:***

##### a. SF 424A, Section A - Budget Summary

Section A - Budget Summary and Section B - Budget Categories should include both Federal and non-Federal funding for the proposed project covering the first 12 months of the project period.

On line 5, enter total federal Costs in column (e) and total non-federal Costs (including third party in-kind contributions and any program income to be used as part of the grantee match) in column (f). Enter the total of columns (e) and (f) in column (g).

##### b. Section B - Budget Categories

Use only the last column under Section B, namely the column headed Total (5), to enter the total requirements for funds (combining both the federal and non-federal shares) by object class category.

#### Budget Justification

A more detailed explanation of the proposed budget should be provided in a budget justification section, including an explanation of costs listed in line f, Contractual. In that budget justification, consider including an overall budget breakdown which shows in three columns all of the budget cost items by federal, non-federal, and total funds. The rest of this separate budget presentation should fully explain and justify each of the major budget items: personnel, travel, other, etc., as outlined below. Again, be sure to provide a breakdown of costs (such as personnel, travel, equipment, etc) for all contractual services.

The column for non-federal funds shown for any of the budget line items in the budget justification sheet reflects only cash match contributions (see instructions on page 25 for item 15 on the face sheet of the 424 Form). Third party in-kind contributions and program income designated as non-federal match contributions should be identified and justified separately from the justification for the budget line items. The full budget justification (allow up to four pages) should be included in the application immediately following the SF 424 forms.

SF 424A, Line 6a - Personnel: Enter total costs of salaries and wages of applicant/grantee staff. Do not include the costs of consultants, which should be included under 6h - Other. Justification: Identify the project director, if known. Specify the key staff, their titles, brief summary of project related duties, and time commitments in the budget justification. Specify both the percentage of time and dollar amount attributed to administrative functions.



SF 424A, Line 6b - Fringe Benefits: Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate.

Justification: Provide a break-down of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement insurance, etc. Indicate the percentage and dollar amount of fringe benefits attributed as administrative costs.

SF 424A, Line 6c - Travel: Enter total costs of out-of-town travel (travel requiring per diem) for staff of the project. Do not enter costs for consultant's travel or local transportation. Consultant travel should be listed in line 6h.

Justification: Include the total number of trips, destinations, purpose, length of stay, subsistence allowances and transportation costs (including mileage rates). Indicate the percentage and dollar amount of travel attributed to administrative costs.

SF 424A, Line 6d - Equipment: Enter the total costs of all equipment to be acquired by the project. For all grantees, "equipment" is non-expendable tangible personal property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit.

Justification: Equipment to be purchased with federal funds must be justified as necessary for the conduct of the project. The equipment, or a reasonable facsimile, must not be otherwise available to the applicant or its sub-grantees. The justification also must contain plans for the use or disposal of the equipment after the project ends. Purchase of the equipment must be for project related functions and not solely for administrative activities.

SF 424A, Line 6e - Supplies: Enter the total costs of all tangible expendable personal property (supplies) other than those included on line 6d.

Justification: Provide general description of types of items included. Copying charges should be included here, but printing costs should be listed in 6h.

SF 424A, Line 6f - Contractual: Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.) and, (2) contracts with secondary recipient organizations including delegate agencies. Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line.

Justification: Attach a list of contractors indicating the name of the organization, the purpose of the contract, and the estimated dollar amount. If the name of the contractor, scope of work, and estimated costs are not available or have not been negotiated, indicate when this information will be available. **Whenever the applicant/grantee intends to delegate a substantial part (one-third, or more) of the project work to another agency, the applicant/grantee must provide a completed copy of Section B, Budget Categories for each contractor, along with supporting information and justifications.**

SF 424A, Line 6g - Construction: Leave blank since new construction and renovations/repairs are not allowable costs for this program.

SF 424A, Line 6h - Other: Enter the total of all other costs. Such costs, where applicable, may include, but are not limited to: insurance, medical and dental costs (i.e. for project

volunteers this is different from personnel fringe benefits); non-contractual fees and travel paid directly to *individual* consultants; local transportation (all travel which does not require per diem is considered local travel); postage; space and equipment rentals/lease; printing and publication; computer use; training and staff development costs (i.e. registration fees). If a cost does not clearly fit under another category, and it qualifies as an allowable cost, then rest assured this is where it belongs.

Justification: Provide a reasonable explanation for items in this category. For individual consultants, explain the nature of services provided and the relation to activities in the work plan. Describe the types of activities for staff development costs. Indicate the percentage and dollar amount of activities attributed as administrative costs (use definition above).

SF 424A, Line 6i - Total Direct Charges: Show the totals of Lines 6a through 6h.

Justification: In the justification, note the total direct project costs, the percentage and total dollar amount attributed to direct provision of services, and the percentage and total dollar amount attributed to administrative costs.

SF 424A, Line 6j - Indirect Charges: Enter the total amount of indirect charges (costs), if any. If no indirect costs are requested, enter "none." Indirect charges may be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state government agency. State governments should enter the amount of indirect costs determined in accordance with DHHS requirements

SF 424A, Line 6k - Total: Enter the total amounts of Lines 6i and 6j.

SF 424A, Line 7 - Program Income/Third Party In-kind: Include on line 7 any third party in-kind contributions being proposed as part of the grantee match. Also, as appropriate, estimate the amount of income, if any, expected to be generated from this project which you wish to designate as match (equal to the amount shown for Item 15(f) on Form 424). **Note:** Any program income indicated at the bottom of Section B and for item 15(f) on the face sheet of Form 424 will be included as part of non-Federal match and will be subject to the rules for documenting completion of this pledge. If program income is expected, but is not needed to achieve matching funds, do **not** include that portion here or on Item 15(f) of the Form 424 face sheet. Any anticipated program income which will not be applied as grantee match should be described in the Level of Effort section of the Program Narrative.

c. SF 424A, Section C - Non-Federal Resources

SF 424A, Line 12 - Totals: Enter amounts of non-Federal resources that will be used in carrying out the proposed project. Do not include program income unless it is used to meet match requirements. Keep in mind that if program income used to meet match requirements and the projected level of program income is not met, thereby decreasing the level of match, the amount of federal funds available to the grantee may be reduced if the match falls below required levels.

d. SF 424A, Section D - Forecasted Cash Needs: Not applicable.

e. SF 424A, Section E - Budget Estimate of Federal Funds Needed for Balance of the Project. Complete this section since the total project period encompasses three funding periods. These figures should correspond to activities set forth in the proposed work plan.

SF 424A, Line 20 - Totals: Enter the estimated required federal funds (exclude estimates of the amount of cost sharing) for the period covering months 13 through 24 (if applicable) under column (b) First, and for the period covering months 25 through 36 (if applicable) under column (c).

SF 424A, Section F - Other Budget Information

SF 424A, Line 21 - Direct Charges: Not applicable

SF 424A, Line 22 - Indirect Charges: Enter the type of indirect rate (provisional, predetermined, final or fixed) to be in effect during the funding period, the base to which the rate is applied, and the total indirect costs.

SF 424A, Line 23 - Remarks: Provide any other comments deemed necessary.

**Be sure to submit both the SF424A and your budget justification with your proposal.**

## **Part II: INFORMATION & GUIDELINES FOR THE APPLICATION PROCESS AND REVIEW**

Part II of this application kit contains general information for potential applicants and basic guidelines for submitting applications to compete for NFCSP. Application forms are provided along with detailed instructions for developing and assembling the application package for submittal to the AoA.

### **A. DEADLINE FOR SUBMISSION OF APPLICATIONS**

The closing date for submission of applications is June 10, 2001. Applications must be postmarked by midnight August 10, 2001, or hand-delivered by 5:30 p.m. Eastern Time on June 10, 2001 to:

Department of Health and Human Services  
Administration on Aging  
Office of Management, Division of Grants Management  
330 Independence Avenue, S.W., Room 4257  
Washington, D.C. 20201  
Attn: AoA-01-08

Hand-delivered applications are accepted during the working hours of 9:00a.m to 5:30p.m., Eastern Time, Monday through Friday. The above address is in a secured building. It will **not** be sufficient to leave the application at the guard station. In order to gain entrance, after you are at the guard station, you may call (202) 619-0011. An AoA staff person will conduct you to Room 4257. An application will meet the deadline if it is either:

1. Received at the mailing address on or before the applicable deadline date; or
2. Sent before midnight of the applicable deadline date as evidenced by either 1) a U.S. Postal Service receipt or postmark or 2) a receipt from a commercial carrier. The application must be received by AoA in time to be considered under the competitive independent review mandated by Chapter 1-62 of the DHHS Grants Administration Manual. Applicants are strongly advised to obtain proof that the application was sent by the applicable deadline date. If there is a question as to when the application was sent, applicants will be asked to provide proof that they have met the applicable deadline date. Private metered postmarks are not proof of a timely submittal.

Applications which do not meet the above deadlines are considered late applications. The AoA Office of Management, Division of Grants Management will notify each applicant if its application will not be considered as part of this review and competition.

AoA may extend the August 10, 2001 deadline for applications because of acts of God, such as floods, hurricanes or earthquakes, when there is widespread disruption of the mail, or when AoA determines an extension to be in the best interest of the government. Depending upon the precipitating factor(s), the extension will apply to all potential applicants in the area affected by the natural disaster, or to all potential applicants across the nation. Should there

be an extension of the application, a notice to that effect will be published in the Federal Register.

## **B. REVIEW PROCESS AND CONSIDERATION FOR FUNDING**

Within the limits of available federal funds, AoA makes financial assistance awards consistent with the purposes of the statutory authority governing this grant program, as cited above. The following steps are involved in the review process:

- 1) Notification: Applicants will be notified of the receipt of their application and informed of the identification number assigned to it if the applicant submits the appropriate information on the enclosed yellow postcard.
- 2) Screening: To ensure that minimum standards of equity and fairness have been met, applications which do not meet the screening criteria outlined in Section D below, will not be reviewed and will receive no further consideration for funding.
- 3) Expert Review: Applications that conform to the requirements of this program announcement will be reviewed and scored competitively against the evaluation criteria specified in Section F, below. This independent review of applications is performed by panels consisting of qualified persons from outside the federal government and knowledgeable non-AoA federal government officials. The scores and judgements of the reviewers are a major factor in award decisions.
- 4) Other Comments: AoA may solicit views and comments on pending applications from other federal departments and agencies, interested foundations, national organizations, experts, and others, for the consideration of the Assistant Secretary for Aging in making funding decisions.
- 5) Other Funding Sources: AoA reserves the option of discussing applications with, or referring them to, other federal or non-federal funding sources when this is determined to be in the best interest of the federal government or the applicant.
- 6) Decision-Making Process: After the review panel session, applicants may be contacted by AoA staff to furnish additional information. Applicants who are contacted should not assume that funding is guaranteed. An award is official only upon receipt of the Financial Assistance Award.
- 7) Timeframe: Applicants should be aware that the time between the deadline for submission of applications and the grant award may take several months. This length of time is required to review and process project applications.

## **C. NOTIFICATION UNDER EXECUTIVE ORDER 12372**

This is not a covered program under Executive Order 12372 (Executive Order 12372 can be read at <http://www.ntia.doc.gov/otiahome/ptfp/Application/eo12372.html>).

#### **D. APPLICATION SCREENING REQUIREMENTS**

All applications will be screened to assure a level playing field for all applicants. Applications which fail to meet any one of the screening criteria below will **not** be reviewed and will receive **no** further consideration.

In order for an application to be reviewed, it must meet the following screening requirements:

1. Applications must be postmarked by midnight August 10, 2001, or hand-delivered by 5:30 p.m. Eastern Time on August 10, 2001 to:

Department of Health and Human Services  
Administration on Aging  
Office of Management, Division of Grants Management  
330 Independence Avenue, S.W., Room 4257  
Washington, D.C. 20201  
Attn: AoA-01-08.

2. The proposal provides for the appropriate and required match for the first year of funding.
3. The application is **no more than 30 single-sided pages**, double-spaced as detailed below in Section E. "Proposal Format".

**Only those applications meeting these screening requirements will be reviewed and eligible for funding.**

#### **E. PROPOSAL FORMAT**

All applications must adhere to the following requirements in preparing the application:

1. The application must **not** exceed *thirty (30) pages, single-sided, double-spaced*, exclusive of certain required forms and assurances which are listed below. *Please note that this requirement also appears as screening criteria.* Fonts **no smaller than** 10pt Arial or 12pt Times Roman are required, with at least one inch (1") margins on all sides.
2. The following documents are excluded from the 30 page limitation:
  - Standard Form (SF) 424
  - SF 424A (including up to a four-page budget justification)
  - the certification forms regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirements
  - indirect cost agreements.

3. The following portions of the application are included in the thirty (30) page limitation:
  - Summary description (length: not to exceed 1200 characters);
  - Narrative (approximate length: 15 – 20 pages);
  - Timeline for accomplishment of proposed tasks (approximate length: 1 - 3 pages)
  - Applicant's capability statement, including an organization chart, and vitae for key project personnel (approximate length 4 - 8 pages) and;
  - Essential letters of commitment and cooperation (approximate length: 4 - 8 pages).
4. Please have the narrative typed, double-spaced, on one side of 8 1/2" x 11" plain white paper with 1" margins on all sides. All pages of the narrative (including charts, tables, etc.) should be sequentially numbered, beginning with "Objectives and Need for Assistance" as page number two (2). At the close of the project narrative, please identify the author(s) of the proposal, their relationship with the applicant agency, and the role they will play, if any, should the project be funded. The application should not be bound. A staple is recommended.
5. Beginning with the page for the project summary description, pages must be numbered sequentially. Please do not use covers or tabs. Do not include extraneous materials such as agency promotion brochures, slides, tapes, film clips, etc. It is not feasible to include such items in the review process. They will be discarded if submitted as part of the application.
6. The Program Narrative is the critical part of the application. It should be clear, concise, and, of course, responsive to this program announcement. In describing your proposed project, make certain that you respond fully to the evaluation criteria set forth in Part II, and have addressed the expectations discussed in Part I. The organization of the narrative might well, in fact, parallel the review criteria, beginning with an integrated discussion of (A) the project's purpose(s), relevance, significance, and responsiveness to the program announcement, which answers the questions of why the proposed project should be undertaken and what it intends to accomplish. The next section of the narrative provides a detailed explanation of (B) the approach(es) the project will follow to achieve its purpose(s), leading to a discussion of (C) the operational strategies and outcomes/results/benefits of the proposed project and how these will be disseminated and utilized. The narrative concludes with (D) the level of effort needed to carry out the project, in terms of the Project Director and other key staff, funding, and other resources.

## **F. THE COMPONENTS & ORDER OF AN APPLICATION**

To expedite the processing of applications, we request that you arrange the components of your application, **the original and two copies**, in the following order:

1. SF 424, Application for Federal Assistance.  
Note: The original copy of the application must have an original signature in item 18d on the SF 424;
2. SF 424A, Budget, accompanied by your budget justification;

3. SF 424B (Assurances);
4. the certification forms regarding lobbying, debarment, suspension, and other responsibility matters, and drug-free workplace requirements.
5. A copy of the applicant's indirect cost agreement, as necessary;
6. Project summary description;
7. Program narrative and timeline;
8. Organizational capability statement and vitae;
9. Letters of commitment from participating organizations and agencies;
10. A copy of the Check List of Application Requirements (See below) with all the completed items checked.

#### **H. COMPLETING THE APPLICATION**

In completing the application, please recognize that the set of standard forms and instructions is prescribed by the Office of Management and Budget and is not perfectly adaptable to the particulars of this program announcement. While reasonable care to avoid technical errors in completing the application is important and should be taken, it is the substantive merits of the project proposal that are the determining factors in funding decisions.

Please use the following guidance in preparing your application:

##### **1. SF 424 - Cover Page**

Complete only the items specified in the following instructions:

- |                |                                                                                                                                                                                                                                                 |
|----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Item 1.</u> | Mark "Non-Construction"                                                                                                                                                                                                                         |
| <u>Item 2.</u> | Fill in the date you submitted the application. Leave the applicant identifier box blank.                                                                                                                                                       |
| <u>Item 3.</u> | Not applicable.                                                                                                                                                                                                                                 |
| <u>Item 4.</u> | Leave blank.                                                                                                                                                                                                                                    |
| <u>Item 5.</u> | Provide the legal name of the applicant; the name of the primary organizational unit that will undertake the project; the applicant address; and the name and telephone number of the person to contact on matters related to this application. |



- Item 6. Enter the employer identification number (FEIN) of the applicant organization as assigned by the Internal Revenue Service. If known, include the FEIN suffix.
- Item 7. Mark appropriate letter.
- Item 8. Mark “New”
- Item 9. Name of Federal Agency is: “Administration on Aging.”
- Item 10. The Catalog of Federal Domestic Assistance Number is 93.052.
- Item 11. The project title should describe concisely the nature of the project proposal. Avoid repeating the title of the program announcement or the name of the applicant. Try not to exceed 10 to 12 words and 120 characters including spaces and punctuation.
- Item 12. List only the largest political entities affected (i.e. State, counties, cities, etc.)
- Item 13. Enter an appropriate start date
- Item 14. List the applicant's Congressional District and any Congressional Districts directly affected by the proposed project.
- Item 15. All budget information entered under item #15 should cover only the first 12 months of the project. The applicant should show the federal support requested under sub-item 15a. Sub-items 15b-15e are considered cost-sharing or "matching funds". Applicants should review cost sharing or matching principles contained in Subpart G of 45 CFR Part 74 before completing not just Item 15, but the Budget Information Sections A, B and C that follow. It is important that the dollar amounts entered in sub-items 15b-15f total at least 25 percent of the total project cost (total project cost is equal to the requested federal funds plus funds from non-federal sources).
- In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are considered cash matching funds. Generally, most contributions from third parties will be non-cash (i.e. in-kind). Examples include volunteered time and use of facilities to hold meetings or conduct project activities. A third form of non-federal match, is projected program income derived from activities of the project such as participant fees and sale of publications. Only program income which is to be used as part of the qualifying match should be shown here.
- Item 16. Mark “No,” this program is not covered by E.O. 12372.

Item 17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.

Item 18. To be signed by an authorized representative of the applicant organization. A document attesting to sign-off authority must be on file in the applicant's office. Failure to provide a signed original document will result in rejection of the application.

2. **SF 424A (2 pages pre-printed forms)** see detailed instructions above (Part I).

3. **Budget Justification (up to 4 pages)** See detailed instructions above for each item.

4. **SF 424B – Assurances**

SF 424B, Assurances -- Non-Construction Programs, contains assurances required of applicants under the Administration on Aging's National Family Caregiver Support Program. Please note that a duly authorized representative of the applicant organization must certify that the applicant is in compliance with these assurances. Failure to provide a signed original document will result in rejection of the application.

5. **Certification Forms**

Certifications are required of the applicant regarding (a) lobbying; (b) debarment, suspension, and other responsibility matters; and (3) drug-free workplace requirements. Please note that a duly authorized representative of the applicant organization must attest to the applicant's compliance with these certifications. Failure to provide a signed original document will result in rejection of the application.

6. **Project Summary Description**

The project summary description (page one) begins the substantive part of the application. It should be headed by two identifiers:

1. The name of the applicant organization as shown in SF 424, item 5; and
2. National Family Caregiver Support Program. Please limit the summary description to no more than 1200 characters.

Outline the objectives of the proposed project, the approaches to be used and the outcomes expected. At the end of the summary, list major products that will result from the proposed project (such as manuals, data collection instruments, training packages, audio-visuals, software packages). The project summary description, together with the information on the SF 424, becomes the project "abstract" which is entered into the AoA computer data base. The project description provides the reviewer with an introduction to the substantive parts of the application. Therefore, care should be taken to produce a summary which accurately reflects the proposal.

**7. Program Narrative**

The Program Narrative is the critical part of the application. It should be clear, concise, and, of course, responsive to this program announcement. See Part I above for more detailed instructions regarding the substantive priorities to be covered in the program narrative.

**8. Organizational Capability Statement and Vitae for Key Project Personnel**

The organizational capability statement should describe how the applicant agency (or the particular division of a larger agency which will have responsibility for this project) is organized, the nature and scope of its work and/or the capabilities it possesses. This description should cover capabilities of the applicant agency not included in the program narrative, such as any current or previous relevant experience and/or the record of the project team in preparing cogent and useful reports, publications, and other products. If appropriate, include an organization chart showing the relationship of the project to the current organization. Include short vitae for key project staff only. Also include information about any contractual organization(s) that will have a significant role(s) in implementing project and achieving project goals.

**9. Letters of Commitment From Participating Organizations and Agencies**

Include confirmation of the commitments to the project (should it be funded) made by essential collaborating organizations and agencies in this part of the application. Any organization that is specifically named to have a significant role in carrying out the project should be considered an essential collaborator. Letters of Commitment are part of the 30-page application limit.

**10. Checklist for a Complete Application**

The checklist below should be typed on 8 1/2" x 11" plain white paper, completed and included in your application package. It should help in making sure you have not overlooked anything of importance.

## **APPLICATION CHECKLIST**

I have checked my application package to ensure that it includes or is in accord with the following:

- ☐ One original application plus two copies, with the SF 424 as the first page of each copy of the application;
- ☐ SF 424A - Budget Information (and accompanying Budget Justification);
- ☐ SF 424B - Assurances; and Certifications (including signed original);
- ☐ SF 424 has been completed according to the instructions, signed and dated by an authorized official (item 18) (including signed original);
- ☐ A copy of the current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency;
- ☐ Project Summary description;
- ☐ Program narrative;
- ☐ Organizational capability statement and vitae for key personnel;
- ☐ Letters of commitment and cooperation, as appropriate;
- ☐ Completed Checklist